

identifying at least one [or more] portion[s] in each of at least two documents in the acquired securities information as [relating to] compliance information for a particular mutual fund [security]; and

creating a computer-readable file [having] from the identified portions wherein the computer-readable file comprises compliance information for the particular mutual fund.

3. (Amended) The method of claim 1 wherein the acquiring step comprises acquiring the securities information from a database of [at least the] EDGAR filings with [database of] the Securities and Exchange Commission.

4. (Amended) The method of claim 1 wherein the creating step comprises creating [the] a computer-readable file from the identified portions, wherein the computer-readable file comprises [which contains] a prospectus of the particular mutual fund [security].

5. (Amended) The method of claim [3] 1 wherein the identifying step comprises matching a central index key to [any of an internal identification number, a] a CUSIP number associated with the mutual fund, wherein the central index key is provided by EDGAR[, or a stock exchange ticker symbol, and determining if the identification number, CUSIP number, or stock exchange ticker symbol relates to a particular security].

6. (Amended) The method of claim 5 wherein the identifying step further comprises, for each of the at least two documents:

identifying portions of the acquired securities information in the document as identified compliance information;

identifying the start and end of the identified compliance information in the document;

extracting the identified compliance information from the document [securities information].

7. (Amended) The method of claim 6 wherein the identifying step further comprises:

identifying the effective date of the identified compliance information;

identifying an amended compliance information item that the identified compliance information is amending;

determining an effective date of the identified compliance information from the effective date of the amended compliance information [item].

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9. (Amended) A system for providing access to mutual fund compliance information, comprising:

an obtainment subsystem for acquiring securities information from one or more database sources and for extracting compliance information [to create] from at least two [computer-readable files] documents each comprising [having at least a portion of the] compliance information [relating to securities] for a particular mutual fund [offered to investors by different sources]; and

an accessing subsystem for providing access to [the computer-readable files] extracted compliance information for at least two mutual funds offered to investors by different fund issuers over a computer communications link.

10. (Amended) The system of claim 9 wherein the obtainment subsystem comprises:

an acquisition subsystem for acquiring the securities information by accessing a [at least the EDGAR] database [to acquire] of EDGAR submissions containing the [securities] compliance information;

a cataloging subsystem for locating the compliance information in the EDGAR submissions; and

a splitting subsystem for extracting the compliance information from the EDGAR submissions.

11. (Amended) A computer-readable data storage device comprising computer executable instructions for execution on a computer to cause the computer to aid an operator in performing the steps of:

identifying a subset of filing documents that were recently added to a regulatory filing document database;

searching each of the subset of documents for [desired] compliance information;

recording document identifiers for any of the subset of documents containing the [desired] compliance information;

extracting the [desired] compliance information from each of the subset of documents containing the [desired] compliance information by (i) marking the lines of text in the document containing the compliance information, (ii) identifying a start line and an end line of the [desired]

compliance information, and (iii) copying the compliance [desired] information starting at the start line and ending at the end line; and

storing the extracted [desired] compliance information.

14¹³. (Amended) The computer-readable data storage device of claim 12¹³ wherein the regulatory filing document database comprises the EDGAR database.

15¹⁴. (Amended) The computer-readable data storage device of claim 1[3]2 wherein the computer executable instructions further comprise the step of determining the effective date of the compliance information [extracted desired information comprises an effective date].

16¹⁵. (Amended) The computer-readable data storage device of claim 14¹⁵ wherein the stored extracted [desired] compliance information is stored on a file server.

17¹⁶. (Amended) The computer-readable data storage device of claim 12¹³ wherein the start line and an end line of the [desired] compliance information are identified at least two times independently.

18¹⁷. (Amended) A method for obtaining [desired] compliance information for a mutual fund from a regulatory filing document database, comprising:

identifying a subset of regulatory filing documents that were recently added to the regulatory filing document database;

searching each of the subset of documents for [the desired] compliance information;

recording document identifiers for any of the subset of documents containing [the desired] compliance information;

extracting [the desired] compliance information from each of the documents containing the [desired] compliance information by (i) marking the lines of text in the document containing the compliance information, (ii) identifying a start and end line marking at the start and end of the compliance [desired] information, and (iii) copying the [desired] compliance information starting at the start line and ending at the end line; and

storing the extracted [desired] compliance information for a particular mutual fund in a document.

19¹⁸. (Amended) The method of claim 18¹⁸ wherein the identifying step comprises identifying the subset of documents that [were recently added to the] are recent EDGAR filings [database].

20. (Amended) The method of claim 19 wherein the step of extracting the [desired] compliance information further comprises [extracting] determining a date that the desired information is effective.

21. (Amended) The method of claim 20 wherein the step of storing the information further comprises storing the extracted [desired] compliance information and the effective date.

22. (Amended) The method of claim 18 wherein the step of storing the information further comprises storing the extracted [desired] compliance information on a file server accessible via a computer communications link.

23. (Amended) The method of claim 18 wherein the sub-step (i) of marking the lines of text in the document comprises numbering the lines of text in the document with a unique number.

24. (Amended) The method of claim 18 wherein the sub-step (ii) of identifying a start line and an end line of the [desired] compliance information is [accomplished] performed at least two times independently.

25. (Amended) A system for serving compliance information pages to a client, comprising:

a computer-readable storage medium for storing compliance information in electronic format of at least [one particular security] two mutual funds from different fund issuers [in electronic format];

an indexer for indexing the compliance information and producing an index page comprising page identifiers for each item of compliance information for one of the mutual funds [a particular security]; and

a network interface for transmitting the index page for display on a client.

27. (Amended) The server of claim 25 wherein the indexing is based upon a CUSIP number [unique identifier] for each mutual fund [security].

28. (Amended) A method for retrieving compliance information for a mutual fund, comprising:

receiving a[n identifier] CUSIP number unique to a particular [security] mutual fund;

determining whether effective compliance information is available for the particular mutual fund;

if effective compliance information is available, transmitting compliance information for the [security] mutual fund specified by the identifier.

--32. The method of claim 1 wherein the creating step comprises creating a computer readable file from the identified portions wherein the computer-readable file comprises effective compliance information for the particular mutual fund.--

REMARKS

Extension Request

This Amendment and Response is filed in Response to the Office Action mailed on August 19, 1999. Applicants hereby petition for a three-month extension of time under 37 C.F.R. 1.136(a) to file this Response to Office Action. A check for the extension fee is enclosed. If any other extension period or fee is required to have this Amendment and Response entered and considered, please consider this a conditional petition for the proper extension and authorization to charge our Deposit Account No. 20-0531. Applicant notes that the six-month period for response is extended until February 22, 2000 because February 19, 2000 was a Saturday, and the following Monday, February 21, 2000, was a national holiday.

Claim Rejections

Claims 1-31 were pending in the application, and claims 1-31 were rejected. In this Amendment and Response, Applicants have cancelled claims 29 and 31, amended claims 1, 3-9, 12-15, 17-25, and 27-28, and added claim 32. Claims 1-28, 30, and 32 are now pending in this application.

The Examiner rejected claims 1-4, 8, and 9 under 35 U.S.C. Sec. 102(e) as anticipated by U.S. Patent No. 5,864,871 to Kitain et al. ("Kitain"). The Examiner rejected claims 5-7, and 11-31 under 35 U.S.C. Sec. 103(a) as unpatentable over Kitain. The Examiner rejected claim 10 under 35 U.S.C. Sec. 103(a) as unpatentable over Kitain in view of U.S. Patent No. 5,893,079 to

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